



Executive **M**anagement **A**ppraisal **P**rogram

Plan Document
Fall 2004

Executive Management Appraisal Program (EMAP)

Overview

The Executive Management Appraisal Program (EMAP) program is based on a calendar year cycle beginning January 1, 2005 and is applicable to all department heads and other executive managers.

Objectives

The plan objectives are to:

- ❑ Establish a consistent approach to Executive Management goal setting, performance feedback, and appraisal.
- ❑ Engage participants in ongoing communication that links agency/department and County strategic priorities to individual performance.
- ❑ Develop the skills and abilities of executive managers on an ongoing basis.
- ❑ Apply a consistent approach to planning, motivating, appraising, and rewarding executive managers.

Process

Performance is viewed as the mutual responsibility of the individual executive manager and the Department Head, Board of Supervisors, Deputy CEO, and/or CEO to whom he/she reports to plan, provide feedback, and assess performance expectations and goals. The three key components of the Executive Management Appraisal Program include:

1. Collaborative performance planning and goal setting that commence at the beginning of the performance cycle (one year);
2. A mid-cycle review of performance and a progress review on goal achievement;
3. An end-of-cycle performance appraisal and rating of performance upon which any available salary adjustments are based.

Annual Appraisal Categories, Ratings, Rewards

Executive Managers will be appraised in six (6) categories of core competencies:

- Leadership
- Strategic
- Vision
- Influence
- Agility
- Ethics

Executive managers' performance will also be appraised based on their attainment of mutually agreed upon goals. Upon the final review of the executive manager's competencies and goal attainment, one of the following four (4) overall ratings will be applied in evaluating overall performance for the performance cycle:

- Exceptional
- Exceeds Expectations
- Meets Expectations
- Needs Improvement

The performance rating will be used in determining the appropriate level of compensation adjustment, if any.

Executive Management Appraisal Program – How It Works

EMAP Timeline

Phase 1 – Performance Planning and Goal Setting - January to end of February

Establish goals and create a performance plan for the coming year.

Phase 2 – Mid-Cycle Review – Approximately June to July

Discuss executive managers' achievements, progress in achieving goals, and core competencies.

Phase 3 – Performance Appraisal – To be completed by mid-December

Complete written review of executive managers' performance during the cycle, assign a performance rating, and determine compensation increases, if any.

Performance Planning and Goal Setting (Phase 1)

The purpose of the Performance Planning and Goal Setting component of EMAP is to provide each manager with a clear understanding of performance expectations and business objectives for the coming year.

At the beginning of the cycle/year, a performance planning meeting will be held to discuss:

1. The six categories of core competencies in relationship to the executive manager's scope of work.
 - a. Core competency discussions include a joint assessment of the executive manager's current skills in relationship to the competency and jointly defining how the competency relates to County and Agency/Department operations and business priorities.
 - b. From the discussion, strategies will be established for further development in areas that can be strengthened.
2. The current and upcoming strategic priorities of the Board of Supervisors, CEO and Agency/Department and the executive manager's role in achieving those priorities.

3. Goals for the executive manager for the coming cycle.
 - a. Goals related to business objectives and the executive manager's assignment will be developed.
 - b. Goals will meet one or more of the following criteria:
 - Eliminate barriers to service delivery and efficiency
 - Reduce costs and/or utilize resources more efficiently
 - Improve the quality or quantity of services provided
 - Utilize creative or innovative approaches or best practices
 - Improve County and/or agency/departmental accountability
 - c. Each established goal should result in the accomplishment of a measurable or observable outcome for the organization that is directly linked to Agency/Department or County business strategies and priorities.
 - d. If organizational priorities shift or conditions change, goals may be changed/modified.

Mid-Cycle Performance Review (Phase 2)

The purpose of the Mid-Year Performance Review is to discuss performance plan progress, progress on achieving goals, and any shifting business priorities. It is an opportunity for coaching, and feedback.

1. Open discussion about performance is encouraged throughout the year; however, the mid-cycle review is an opportunity to formally meet and discuss/review the executive manager's performance/goals/significant changes that may impact work and goals. Feedback on progress will be provided, and goals may be refined/modified, based on the discussion or unforeseen changes.
2. The Mid-Year Performance Review meeting will occur at approximately the mid-point of the performance cycle.

Performance Appraisal Meeting (Phase 3)

The purpose of the Performance Appraisal meeting is to discuss the executive manager's core competencies, attained goals, and overall performance for the cycle. It is an opportunity for the executive manager to provide input into his/her evaluation.

1. After obtaining the executive manager's input, an Executive Management Performance Appraisal will be prepared.
2. The executive manager's overall performance for the cycle will be rated by his/her Department Head, Board of Supervisors, Deputy CEO, or the CEO, based on ongoing performance, results achieved, and goal attainment. Performance will be rated as Exceptional, Exceeds Expectations, Meets Expectations, or Needs Improvement. (See definitions in Attachment C.)

3. The Performance Appraisal will be completed prior to mid-December of each year.

Performance Based Pay Increases

Performance-based pay increases, when available, will be based on the executive manager's performance rating. Annually, beginning January 2005, eligible executive managers rated as "Meets Expectations" or above will receive a 2% performance-based salary increase provided they have not reached the control point of the range. Also, executive managers may receive additional compensation, based on performance, if the Board of Supervisors approves funding.

Management Appraisal Form

The Management Appraisal Form is provided as Attachment A.

This is the single form that will be used to document the executive manager's performance including all three phases of the annual performance review process.

- Phase 1 – Performance Planning and Goal Setting – This is an internal planning document and is **not to be forwarded to Human Resources or the executive manager's personnel file.**
- Phase 2 - Mid-year Review – This is an internal planning document and **is not to be forwarded to Human Resources or the executive manager's personnel file.**
- Phase 3 - Final Performance Appraisal/Rating - This is an official document that will be forwarded to the executive manager's official personnel file.



COUNTY OF ORANGE
Executive Management Appraisal Program
(MAP)
Performance Planning and Appraisal Form

☐ Interim
☐ Probation
☐ Annual

The following are planning documents and are not to be sent to Human Resources or the employee's personnel file.

☐ Performance Plan
☐ Mid-Cycle Review

Agency/Department: _____

Participant: _____

Title: _____

Period Covered: _____ to _____

Overall Appraisal

*Summarize overall performance in two areas: 1) Core competencies and 2) Goal Achievement.
 (Attach additional sheets as needed.)*

1) CORE EXECUTIVE MANAGEMENT COMPETENCIES:

2) ATTAINING GOALS (Attach additional sheets as needed):

Goal # 1:

Results:

Goal # 2:

Results:

Goal # 3:

Results:

OVERALL PERFORMANCE RATING

Overall Performance Rating (check one):

☐ Exceptional ☐ Exceeds Expectations ☐ Meets Expectations ☐ Needs Improvement

☐ Performance-based salary increase granted
 (Meets Expectations or above)

 Executive Manager's Signature

 Date

 Reviewer's Signature

 Date

Attachment B

Executive Management Core Competency Categories/Examples

The following chart provides definitions for the six Core Competency categories upon which the appraisal of executive managers will be based and provides some attributes that may apply to each competency.

Executives will be rated using the competencies listed on the left side of the chart. The right side of the chart provides a brief description of each competency.

COMPETENCY	EXAMPLES OF COMPETENCY SKILLS (you may identify attributes from this list or develop your own)
<i>Leadership</i>	<ul style="list-style-type: none"> • Leads confidently • Employs contemporary leadership practices • Takes personal responsibility for actions and decisions • Guides and directs others toward meeting business objectives while encouraging openness, creativity, and innovation • Exerts influence, persuasion, and vision to communicate and effectuate organizational change • Willing to take and allow others to take risks while communicating and establishing appropriate controls • Entrusts others with tasks, responsibility, and authority • Identifies, attracts, and retains talent • Effectively implements succession planning • Ambition directed toward the organization • Confronts conflict directly and objectively with a goal of resolution for all parties • Takes ownership in areas of responsibility; holds employees accountable to consistent standards
<i>Strategic</i>	<ul style="list-style-type: none"> • Plans and makes decisions within the framework of business objectives • Knows and understands factors influencing strategy • Possesses political savvy; effectively maneuvers through a political environment • Understands the organization's strengths, limitations, resources, and culture in developing and implementing strategies • Aligns strategic goals and department business objectives to organizational vision • Measures organizational effectiveness against key operational and financial targets/goals and reset strategies accordingly • Effectively filters information to take actions that have the greatest positive impact and benefit for the organization • Can be decisive or involve others as situations demand • Is willing to make tough decisions and commit to action
<i>Vision</i>	<ul style="list-style-type: none"> • Sets organizational vision that is aligned with County vision and priorities, public policy, client needs, and Board direction • Builds a shared perspective and articulates it with passion to inspire others • Sets targets and acts as a catalyst for organizational and/or cultural change • Possesses uncompromising commitment to service in the best interest of the public • Aligns workforce with organizational vision

Attachment B

<i>Influence</i>	<ul style="list-style-type: none">• Adapts to situations in order to appropriately direct, persuade, or motivate others• Adjusts leadership style to specific situations to achieve maximum results• Establishes and maintains a solid power base built on trust, fairness, and honest• Achieves maximum results through influencing and empowering others• Communicates clearly and convincingly• Deals effectively with conflict• Builds personal bonds to achieve effective outcomes• Develops strong, effective working relationships• Encourages open communication about controversial issues• Promotes collaboration to manage contention• Confronts conflict constructively to minimize negative impact
<i>Agility</i>	<ul style="list-style-type: none">• Effectively leads and makes decisions in an environment of uncertainty and ambiguity• Weathers and/or excels in crisis or setback situations• Resilient• Able to make sound decisions quickly, with minimal information• Open to change and new information• Quickly adapts in response to new information, changing conditions, or unexpected obstacles• Responds flexibly to people in different situations
<i>Ethics</i>	<ul style="list-style-type: none">• Acts with honest and integrity• Walks the talk• Assumes personal responsibility and accountability• Acts consistently with articulated values• Behavior is consistent with organizational values• Makes decisions within a well-defined ethical framework• Personifies high standards of honesty, integrity, trust, openness, fairness, compassion, and ethical behavior through a personal set of core values• Uses position and personal power appropriately

Definitions of Rating Categories:

- ***Exceptional*** – Performance substantially and consistently exceeds defined job expectations. The executive managers does outstanding work, regularly going beyond what is expected of executives in this job, and producing notably superior results. Superior performance and results are due to the efforts and skills of the executive manager. Any performance that is not exceeding expectations is minor or due to events not under the executive manager's control. The quality, quantity, and timeliness of accomplishments by the manager are exemplary.

During the rating period, employees in this category consistently demonstrate most, if not all, of the following:

- A substantial record of achievements, including unanticipated accomplishments that render a significant contribution to the organization
 - The accomplishment of business goals in an exemplary manner
 - Results are of high quality
 - A high degree of professionalism, political savvy, and knowledge in all endeavors
 - Initiative and dedication that go well above the call of duty to ensure organizational goals and objectives are achieved efficiently and effectively
- ***Exceeds Expectations*** – Performance consistently meets, and regularly exceeds, defined job expectations. Overall, the quality, quantity, and timeliness of accomplishments by employees in this category are very good. Results clearly exceed most position requirements due to the efforts and skills of the executive manager. Managers in this category consistently contribute to the accomplishment of business objectives, frequently operate at a higher level, and demonstrate initiative in accomplishing additional achievements.
 - ***Successfully Meets Expectations*** – Performance consistently meets defined job expectations. The employee is successful in performing according to the expectations of the job. The quality, quantity, and timeliness of accomplishments by executive managers in this category are good. Managers performing at this level are valuable to the organization and are consistently productive, effective, and reliable. They are proficient and sometimes exceed job expectations. The good performance is due to the manager's own efforts and skills. Occasionally, some core competencies may require additional skill development; however, overall performance contributes to the accomplishment of business objectives. This rating reflects that the manager is successful in making a solid, positive contribution to the organization.

Attachment C

- ***Needs Improvement*** – Performance generally fails to meet the defined job expectations, or requires frequent, close supervision and/or the redoing of work. The executive manager is not doing the job at the level expected for the position. Performance in this category generally fails to meet performance expectations and core competencies for the job. The overall performance in this category is determined to have a negative impact on operations, and the executive has not satisfactorily responded to feedback or coaching. Unsuccessful job performance is due to the manager's own lack of effort or skills. Immediate action by the manager to improve his/her performance on a consistent basis is required.